

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Alastair J.D. Beadle, et al.

Serial No.: 10/716,304

Filing Date: November 18, 2003

Art Unit: 3624

Confirmation No.: 6922

Examiner: Unknown

Title: *SYSTEM AND METHOD FOR MANAGING
RELATIONSHIPS BETWEEN BROKERS AND TRADERS*

Mail Stop Amendment

Commissioner of Patents
PO Box 1450
Alexandria, VA 22313-1450

Dear Sir:

INFORMATION DISCLOSURE STATEMENT

Applicants respectfully request, pursuant to 37 C.F.R. §§ 1.56, 1.97 and 1.98, that the references listed on the attached PTO-1449 form be considered and cited in the examination of the above-identified patent application. The present application was filed after June 30, 2003. Therefore, under the July 11, 2003 waiver of 37 C.F.R. § 1.98(a)(2)(i) by the U.S. Patent and Trademark Office, copies of the U.S. Patents and U.S. Patent Application Publications listed in the attached PTO-1449 form are not enclosed. Copies of all other references are enclosed for the convenience of the Examiner. No representation is made that a search has been made, that these references are material to patentability, or that these references qualify as prior art.

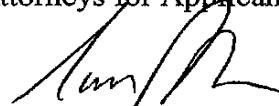
The items contained in this Information Disclosure Statement were cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in 37 C.F.R. §1.56(c) more than thirty days prior to the filing of this Information Disclosure Statement.

REMARKS

Pursuant to 37 C.F.R. § 1.97(b), Applicants believe this Information Disclosure Statement has been filed before the **issuance/mailing** date of the first Office Action. Therefore, Applicants believe no fee is due. However, if a fee is required, the Commissioner is hereby authorized to charge any fees or credit any overpayments to Deposit Account No. 02-0384 of Baker Botts L.L.P.

Respectfully submitted,

Baker Botts L.L.P.
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Date: March 30, 2007

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PTO-1449 Information Disclosure Citation In an Application		Application No. 10/716,304	Applicant(s) Alastair J.D. Beadle, et al.	
		Docket Number 069547.0179	Group Art Unit 3624	Filing Date November 18, 2003

U.S. PATENT DOCUMENTS

		DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE
	A	4,949,248	08/14/1990	Caro	364	200	07/15/1988
	B	5,684,950	11/04/1997	Dare, et al.	395	187.01	09/23/1996
	C	6,230,201 B1	05/08/2001	Guck, et al.	709	228	05/29/1998
	D	2002/0091615 A1	07/11/2002	Salvani	705	37	01/09/2001
	E	2002/0133448 A1	09/19/2002	McGarry, et al.	705	37	01/17/2001
	F						
	G						
	H						
	I						
	J						

FOREIGN PATENT DOCUMENTS

		DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
	K	EP 1 262 894 A1	12/04/2002	EPO	G06F	17/60		
	L	WO 95/06918	03/09/1995	PCT	G06F	157/00		

DOCUMENT (Including Author, Title, Source, and Pertinent Pages)**DATE**

M	<i>European Communication for Application No. 04819040.9; 3 pages.</i>	02/15/2007
N		
O		
P		
Q		

EXAMINER**DATE CONSIDERED**

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.

U.S. PATENT AND TRADEMARK OFFICE